

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT				1. CONTRACT ID CODE		PAGE OF PAGES		
2. AMENDMENT/MODIFICATION NO.			3. EFFECTIVE DATE		4. REQUISITION/PURCHASE REQ. NO.		5. PROJECT NO. (If applicable)	
6. ISSUED BY			CODE		7. ADMINISTERED BY (If other than Item 6)		CODE	
8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code)				(X)		9A. AMENDMENT OF SOLICITATION NO.		
						9B. DATED (SEE ITEM 11)		
						10A. MODIFICATION OF CONTRACT/ORDER NO.		
						10B. DATED (SEE ITEM 11)		
CODE			FACILITY CODE					
11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS								
<input type="checkbox"/> The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers <input type="checkbox"/> is extended, <input type="checkbox"/> is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing items 8 and 15, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment your desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.								
12. ACCOUNTING AND APPROPRIATION DATA (If required)								
13. THIS ITEM ONLY APPLIES TO MODIFICATION OF CONTRACTS/ORDERS. IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.								
CHECK ONE	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.							
	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).							
	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:							
	D. OTHER (Specify type of modification and authority)							
E. IMPORTANT: Contractor <input type="checkbox"/> is not, <input type="checkbox"/> is required to sign this document and return _____ copies to the issuing office.								
14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)								
15A. NAME AND TITLE OF SIGNER (Type or print)				16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)				
15B. CONTRACTOR/OFFEROR		15C. DATE SIGNED		16B. UNITED STATES OF AMERICA		16C. DATE SIGNED		
_____ (Signature of person authorized to sign)				_____ (Signature of Contracting Officer)				

INSTRUCTIONS

Instructions for items other than those that are self-explanatory, are as follows:

(a) Item 1 (Contract ID Code). Insert the contract type identification code that appears in the title block of the contract being modified.

(b) Item 3 (Effective date).

(1) For a solicitation amendment, change order, or administrative change, the effective date shall be the issue date of the amendment, change order, or administrative change.

(2) For a supplemental agreement, the effective date shall be the date agreed to by the contracting parties.

(3) For a modification issued as an initial or confirming notice of termination for the convenience of the Government, the effective date and the modification number of the confirming notice shall be the same as the effective date and modification number of the initial notice.

(4) For a modification converting a termination for default to a termination for the convenience of the Government, the effective date shall be the same as the effective date of the termination for default.

(5) For a modification confirming the contracting officer's determination of the amount due in settlement of a contract termination, the effective date shall be the same as the effective date of the initial decision.

(c) Item 6 (Issued By). Insert the name and address of the issuing office. If applicable, insert the appropriate issuing office code in the code block.

(d) Item 8 (Name and Address of Contractor). For modifications to a contract or order, enter the contractor's name, address, and code as shown in the original contract or order, unless changed by this or a previous modification.

(e) Item 9, (Amendment of Solicitation No. - Dated), and 10, (Modification of Contract/Order No. - Dated). Check the appropriate box and in the corresponding blanks insert the number and date of the original solicitation, contract, or order.

(f) Item 12 (Accounting and Appropriation Data). When appropriate, indicate the impact of the modification on each affected accounting classification by inserting one of the following entries.

(1) Accounting classification _____
Net increase \$ _____

(2) Accounting classification _____
Net decrease \$ _____

NOTE: If there are changes to multiple accounting classifications that cannot be placed in block 12, insert an asterisk and the words "See continuation sheet".

(g) Item 13. Check the appropriate box to indicate the type of modification. Insert in the corresponding blank the authority under which the modification is issued. Check whether or not contractor must sign this document. (See FAR 43.103.)

(h) Item 14 (Description of Amendment/Modification).

(1) Organize amendments or modifications under the appropriate Uniform Contract Format (UCF) section headings from the applicable solicitation or contract. The UCF table of contents, however, shall not be set forth in this document

(2) Indicate the impact of the modification on the overall total contract price by inserting one of the following entries:

(i) Total contract price increased by \$ _____

(ii) Total contract price decreased by \$ _____

(iii) Total contract price unchanged.

(3) State reason for modification.

(4) When removing, reinstating, or adding funds, identify the contract items and accounting classifications.

(5) When the SF 30 is used to reflect a determination by the contracting officer of the amount due in settlement of a contract terminated for the convenience of the Government, the entry in Item 14 of the modification may be limited to --

(i) A reference to the letter determination; and

(ii) A statement of the net amount determined to be due in settlement of the contract.

(6) Include subject matter or short title of solicitation/contract where feasible.

(i) Item 16B. The contracting officer's signature is not required on solicitation amendments. The contracting officer's signature is normally affixed last on supplemental agreements.

- 1. Reference is made to Section B, "Schedule of Supplies, Services, and Prices." Offerors are to complete the following schedule to indicate prices offered. Offerors are not to complete page 4 in the original RFP document. The contents of Section B is deleted in its entirety and replaced with the following:**

See Next Page

SCHEDULE OF SUPPLIES SERVICES AND PRICES					
CLIN	DESCRIPTION	QUANTITY	UNIT	UNIT PRICE	EXTENDED AMOUNT
<i>Base Period</i>					
0001	Mail Operations	12	Mo		
0002	Fee Processing	12	Mo		
0003	Scanning - Other Than Registered Files	12	Mo		
0004	Scanning - Registered Files	12	Mo		
0005	Data Entry (Tagging)	12	Mo		
0006	Proofreading	3	Mo		
0006A	Option (month by month) for Proofreading	Not To Exceed 9	Mo		
0007	Program Manager Services	12	Mo		
<i>Option I</i>					
1001	Mail Operations	12	Mo		
1002	Fee Processing	12	Mo		
1003	Scanning - Other Than Registered Files	12	Mo		
1004	Scanning - Registered Files	12	Mo		
1005	Data Entry (Tagging)	12	Mo		
1006	CLIN Not In Use	NA	NA	NA	NA
1007	Program Manager Services	12	Mo		
<i>Option II</i>					
2001	Mail Operations	12	Mo		
1002	Fee Processing	12	Mo		
2003	Scanning - Other Than Registered Files	12	Mo		
2004	Scanning - Registered Files	12	Mo		
2005	Data Entry (Tagging)	12	Mo		
2006	CLIN Not In Use	NA	NA	NA	NA
2007	Program Manager Services	12	Mo		
<i>Option III</i>					
3001	Mail Operations	12	Mo		
3002	Fee Processing	12	Mo		
3003	Scanning - Other Than Registered Files	12	Mo		
3004	Scanning - Registered Files	12	Mo		
3005	Data Entry (Tagging)	12	Mo		
3006	CLIN Not In Use	NA	NA	NA	NA
3007	Program Manager Services	12	Mo		
<i>Option IV</i>					
4001	Mail Operations	12	Mo		
4002	Fee Processing	12	Mo		
4003	Scanning - Other Than Registered Files	12	Mo		
4004	Scanning - Registered Files	12	Mo		
4005	Data Entry (Tagging)	12	Mo		
4006	CLIN Not In Use	NA	NA	NA	NA
4007	Program Manager Services	12	Mo		

NOTES: THE ANTICIPATED PERIOD OF PERFORMANCE FOR THE BASE PERIOD IS OCT 1, 2006 THROUGH SEP 30, 2007. THE RESULTANT CONTRACT WILL INCLUDE FOUR 12 MONTH OPTION PERIODS. EACH OPTION, IF EXERCISED, WILL EXTEND THE PERIOD OF PERFORMANCE AS FOLLOWS:

BASE PERIOD: 1 OCT 2006 THROUGH 30 SEP 2007
OPTION I: 1 OCT 2007 THROUGH 30 SEP 2008
OPTION II: 1 OCT 2008 THROUGH 30 SEP 2009
OPTION III: 1 OCT 2009 THROUGH 30 SEP 2010
OPTION IV: 1 OCT 2010 THROUGH 30 SEP 2011

THE BASEPERIOD OF PERFORMANCE INCLUDES SUBCLIN 0006A WHICH IS AN OPTION TO EXTEND PROOFREADING SERVICES FOR A MAXIMUM OPTION QUANTITY NOT TO EXCEED 9 MONTHS. THIS OPTION MAY BE EXERCISED WITHIN 10 DAYS OF EXPIRATION OF THE CURRENT PERFORMANCE PERIOD FOR THE CLIN AND MAY BE EXERCISED IN INCREMENTS OF 1 MONTH OR MORE; BUT NO MORE THAN 9 MONTHS MAY BE EXERCISED AT ONE TIME.

2. **Section C, “Description and Specifications” is deleted in its entirety. Replace with the revised Section C, which is included in this amendment as Attachment I hereto.**
3. **Reference is made to Section K, “Representations and Certifications”. The following provision, FAR 52.219-1, is hereby inserted:**

SMALL BUSINESS PROGRAM REPRESENTATIONS (MAY 2004) (52.219-1)

(a)(1) The North American Industry Classification System (NAICS) code for this acquisition is _561499 “Other Business Support Services”_ .

(2) The small business size standard is \$6.5 Million_.

(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) Representations.

(1) The offeror represents as part of its offer that it ☐ is, ☐ is not a small business concern.

(2) [*Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.*] The offeror represents, for general statistical purposes, that it ☐ is, ☐ is not, a small disadvantaged business concern as defined in 13 CFR 124.1002.

(3) [*Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.*] The offeror represents as part of its offer that it ☐ is, ☐ is not a women-owned small business concern.

(4) *[Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.]* The offeror represents as part of its offer that it ☐ is, ☐ is not a veteran-owned small business concern.

(5) *[Complete only if the offeror represented itself as a veteran-owned small business concern in paragraph (b)(4) of this provision.]* The offeror represents as part of its offer that it ☐ is, ☐ is not a service-disabled veteran-owned small business concern.

(6) *[Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.]* The offeror represents, as part of its offer, that—

(i) It ☐ is, ☐ is not a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material change in ownership and control, principal office, or HUBZone employee percentage has occurred since it was certified by the Small Business Administration in accordance with 13 CFR Part 126; and

(ii) It ☐ is, ☐ is not a joint venture that complies with the requirements of 13 CFR Part 126, and the representation in paragraph (b)(6)(i) of this provision is accurate for the HUBZone small business concern or concerns that are participating in the joint venture. *[The offeror shall enter the name or names of the HUBZone small business concern or concerns that are participating in the joint venture: _____.]* Each HUBZone small business concern participating in the joint venture shall submit a separate signed copy of the HUBZone representation.

(c) *Definitions.* As used in this provision—

“Service-disabled veteran-owned small business concern”—

(1) Means a small business concern—

(i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and

(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) “Service-disabled veteran” means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).

“Small business concern” means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria in 13 CFR Part 121 and the size standard in paragraph (a) of this provision.

“Veteran-owned small business concern” means a small business concern—

(1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and

(2) The management and daily business operations of which are controlled by one or more veterans.

“Women-owned small business concern” means a small business concern—

(1) That is at least 51 percent owned by one or more women; or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and

(2) Whose management and daily business operations are controlled by one or more women.

(d) Notice.

(1) If this solicitation is for supplies and has been set aside, in whole or in part, for small business concerns, then the clause in this solicitation providing notice of the set-aside contains restrictions on the source of the end items to be furnished.

(2) Under 15 U.S.C. 645(d), any person who misrepresents a firm's status as a small, HUBZone small, small disadvantaged, or women-owned small business concern in order to obtain a contract to be awarded under the preference programs established pursuant to section 8(a), 8(d), 9, or 15 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall—

- (i) Be punished by imposition of fine, imprisonment, or both;
- (ii) Be subject to administrative remedies, including suspension and debarment; and
- (iii) Be ineligible for participation in programs conducted under the authority of the Act.

4. Reference is made to Section I, "Contract Clauses". FAR clauses 52.219-18 and 52.219-14 are inserted as follows:

NOTIFICATION OF COMPETITION LIMITED TO ELIGIBLE 8(A) CONCERNS (JUNE 2003) (52.219-18)

(a) Offers are solicited only from small business concerns expressly certified by the Small Business Administration (SBA) for participation in the SBA's 8(a) Program and which meet the following criteria at the time of submission of offer—

(1) The Offeror is in conformance with the 8(a) support limitation set forth in its approved business plan; and

(2) The Offeror is in conformance with the Business Activity Targets set forth in its approved business plan or any remedial action directed by the SBA.

(b) By submission of its offer, the Offeror represents that it meets all of the criteria set forth in paragraph (a) of this clause.

(c) Any award resulting from this solicitation will be made to the Small Business Administration, which will subcontract performance to the successful 8(a) offeror selected through the evaluation criteria set forth in this solicitation.

(d)(1) *Agreement.* A small business concern submitting an offer in its own name shall furnish, in performing the contract, only end items manufactured or produced by small business concerns in the United States or its outlying areas. If this procurement is processed under simplified acquisition procedures and the total amount of this contract does not exceed \$25,000, a small business concern may furnish the product of any domestic firm. This paragraph does not apply to construction or service contracts.

(2) The _____ [*insert name of SBA's contractor*] will notify the _____ [*insert name of contracting agency*] Contracting Officer in writing immediately upon entering an agreement (either oral or written) to transfer all or part of its stock or other ownership interest to any other party.

LIMITATIONS ON SUBCONTRACTING (DEC 1996) (52.219-14)

(a) This clause does not apply to the unrestricted portion of a partial set-aside.

(b) By submission of an offer and execution of a contract, the Offeror/Contractor agrees that in performance of the contract in the case of a contract for—

(1) *Services (except construction)*. At least 50 percent of the cost of contract performance incurred for personnel shall be expended for employees of the concern.

(2) *Supplies (other than procurement from a nonmanufacturer of such supplies)*. The concern shall perform work for at least 50 percent of the cost of manufacturing the supplies, not including the cost of materials.

(3) *General construction*. The concern will perform at least 15 percent of the cost of the contract, not including the cost of materials, with its own employees.

(4) *Construction by special trade contractors*. The concern will perform at least 25 percent of the cost of the contract, not including the cost of materials, with its own employees.

5. In order to remove the 7 page limit on Past Performance information, reference is made to Section L, “Instructions to Offerors”, Provision L.5. , paragraph B, “Past Performance Information”:

**Delete the first sentence which starts with “The Past Performance”
And ending with “....inclusive of all Offeror references.”**

6. Reference is made to the second sentence of Provision L.5, which states “Proposal and technical information shall be addressed as follows:” and the USPTO Office of Procurement mailing address provided. Insert the following:

If the offeror opts to hand deliver proposal and technical information the physical address is:

*USPTO
600 Dulany Street
Madison East – Front Desk- Lobby
Alexandria, VA 22313-1450*

7. Reference is made to Section G, clause G4 entitled, “Invoicing and Payment Instructions”:

Delete the words: “Search File Reclassification Services”

8. Reference is made to Section H, clause CAR 1352.239-74. Following the text of the clause, insert:

“This acquisition is Low Risk Group.”

ATTACHMENT I TO AMENDMENT 0003

SECTION C -- DESCRIPTIONS AND SPECIFICATIONS

C.1. BACKGROUND

Over the last four years, the Trademark Office has undergone a dramatic redesign of most of its business processes, from application intake processing to examination to the publication process. In 2002, the majority of the process was paper-based. As recently as 2005, paper processes were undergoing redesign to eliminate the movement of paper files. At present, many of the paper-based processes have been eliminated while the majority of those that remain have transitioned to an electronic process. Ninety percent of all newly filed applications are now submitted electronically via the internet, requiring a fraction of the data entry and manual processing required for paper applications. The need for physical movement of files has virtually disappeared and the storage of pending applications has moved from an on-site docket area to the off-site USPTO warehouse facility. Electronically submitted subsequent filings are automatically uploaded, bypassing the need to physically process all but paper correspondence. Dockets are completely electronic for the core examination function. Notification of remaining pending work and subsequently filed documents are derived from electronically produced lists, updated daily, rather than by visual inspection of paper files in storage areas awaiting processing.

Administrative services to handle initial examination intake operations (mailroom operations, data entry, scanning, fee processing, file assembly) and proofreading prior to assignment for publication in the Trademark Official Gazette (OG) have historically been handled by a contractor. These services are currently being provided under contract number DOC50PAPT201008.

A single award will be made for the services under this performance-based contract.

C.2. SCOPE of REQUIREMENT

The contractor shall provide administrative services to handle the initial examination intake operations (mailroom operations, fee processing, scanning, data entry) and proofreading for and assignment of Trademark OG issue dates for the Trademark Office. These services are required year round, and with the exception of occasional systems user interface testing, services are required Monday through Friday. The USPTO office space is open 24 hours a day, 7 days a week. However, heating and air conditioning hours are limited to 6:00 am to 7:00 pm Monday through Friday (except Federal holidays). Overhead lighting is provided from 5:00 am to 10:00 pm Monday through Friday.

Workload volumes (historic) for the first 6 months of FY 2006 and for projected workload volumes over the contract life are provided in Section C.5. Projected annual workload volumes shown in C.5. for CLINS 1, 2, 3, 5, and 6 could fluctuate by plus or minus 10%. Cycle time requirements are summarized in section C.6. There are no existing backlogs of work.

C.3. GENERAL

Equipment and Systems

The government estimates that computer systems and equipment will be operational at least 95% of the time. Systems operational hours match those of the OCIO helpdesk which are posted on the OCIO website. System operation hours are currently Monday – Friday 5:30 am to midnight; weekends/holidays 5:30 am to 10 pm, except for Thanksgiving, Christmas, and New Year’s Day on which days systems are not operational.

The government will supply 96 workstations to include a desk, chair, PC, barcode reader, printer, and Internet access as well as all government-developed applications systems required to perform the services required. Telephones are not provided at every workstation. 52 of the 96 workstations also have scanners: 36 Panasonic scanners and 16 have Fujitsu scanners. Eleven additional workstations, of the 96, are committed to having a scanner (Panasonic or equal) within three months of contract award.

One additional monitoring workstation (not part of the 96 workstations above) is provided that comprises 16 CPU’s, one high-speed printer, a barcode reader, a telephone, a chair, and 3 PC monitors. This workstation is provided to monitor throughput in the Trademark Image Capture and Retrieval System.

All computer equipment and systems maintenance is provided through the OCIO Helpdesk for the government-provided systems and equipment identified in this RFP. The contractor is required to notify the OCIO Helpdesk immediately of government-provided computer equipment and systems malfunctions or problems. Resolution of specific problems reported varies according to the problem.

Maintenance contracts are maintained by the government for the mailroom equipment and the copier machines. The contractor is required to notify the COTR immediately of non-computer equipment malfunctions or problems.

Response/resolution for maintenance, repair, or problem resolution depends upon the problem and the individual maintenance contracts.

Government Furnished Office Supplies.

All usual office supplies will be provided by the government.

Program Management. (applies to CLIN 7)

An on-site Program Manager (PM) is required to be assigned by the contractor. The PM shall be the point of contact for the COTR. The PM shall be responsible for all operations, and must possess in-depth knowledge of day-to-day operations, contract requirements and workflow. The PM shall ensure the smooth functioning of the services required under the contract. The PM shall be onsite during business hours and must be able to respond to all government inquiries during those hours.

The PM is required to possess above average information technology skills as evidenced by a background in engineering, networking, and/or computer science and experience in systems deployments. The PM must have an above-average understanding of computer interfaces with peripheral devices such as scanners and printers. The PM must have an above-average knowledge of computer operations and standard/current office automation skills.

The PM will be identified as “Key Personnel” in the contract. Upon contract award the contractor shall provide the resume of the PM assigned. The PM may not be changed to another person without the concurrence of the COTR. Any substitute PM must at least meet the skills and qualifications of the initial PM assigned to the contract. The PM shall meet monthly with the COTR to discuss the status of all services.

Reference Documents

Reference documents identified throughout this contract are dynamic and updated very frequently due to systems changes and ongoing process improvements. Some are maintained on the USPTO website. Reference documents provide specific processing requirements. For ease of reference, each is listed below, and is identified with the CLIN with which it supports. Those included as attachments in this SOW will be maintained by the COTR on a USPTO shared drive after award of the contract. Notifications regarding updates to all reference documents on the share drive will be also provided to the Project Manager via email. Data entry and proofreading training will be provided to the contractor beginning on the first business day of the contract, through 3 business days, and whenever system updates warrant training. The contractor's Program Manager may waive training if deemed unnecessary.

Reference Document Name	Pre-contract Location of Reference Document	CLIN1 Mailroom Processing	CLIN 2 Fee Processing	CLIN 3 Scanning - Other Than Registered Files	CLIN 4 Scanning Registered Files	CLIN 5 Data Entry/Tagging	CLIN 6 Proof-reading
Rightfax to TICRS (FIT) Processing Instructions	In RFP	X					
Instructions - Assembling New Applications	In RFP	X					
Instructions for Processing Fastener Quality Act Filings	In RFP	X					

Incoming Mail Instructions	In RFP	X					
Label Machine Instructions	In RFP	X					
The Design Search Code Manual and Instructions	http://www.uspto.gov/main/trademarks.html	X	X	X	X	X	
Identification of Goods and Services Manual.	http://www.uspto.gov/main/trademarks.html					X	
Merriam-Webster's Collegiate Dictionary 10th Edition	Provided electronically on the desktop only. Used to identify Pseudo Marks.					X	
Informalities Template Instructions	In RFP	X				X	
List of Data Entry Fields	In RFP					X	
TICRS	http://ptoweb/ptointranet/cisd/	X	X	X		X	

IMAGE RETRIEVAL (TIR) and DATA MAINTENANCE MODULE (DMM) Users's Manuals	it_support/user_guides/user_guides.htm						
Fee Processing Instructions	http://ptoweb/ptointranet/comptroller/officefinance/documents/policiesprocedures.htm		X				
Special Proofing Instructions from COTR	In RFP						X
J-Notes	In RFP						X
TICRS-IPC- User Manual				X			
TICRS Systems Interfaces	In RFP			X	X	X	
Special Tagging Instructions	In RFP						X

Quality of Services

Government Quality Assurance

The government's Quality Control Plan is provided in Section E. "Inspection and Acceptance." The government will monitor and evaluate the adherence to the contract and to the Contractor's Proposed Quality Assurance Plan which will be incorporated into the resultant contract. These procedures involve reviewing and auditing the services and activities to verify that they comply with the applicable procedures and standards, and assuring the appropriate visibility for the results of the audits and reviews.

Accuracy Standards

Accuracy standards for CLIN 5 are required to be maintained at no less than 98%. Accuracy standards for all other CLINs are required to be maintained at no less than 95%. Error free definitions are provided for critical services within this document and are provided to define 100% accuracy for that service. Accuracy for these critical services will be measured according to these error definitions.

Cycle Time Standards

Cycle time standards are provided throughout this document and itemized in Section C.6. Cycle time standards are required to be maintained at no less than 100% and will only be relaxed by the COTR in the event of a building or government shutdown. Cycle time standards may be relaxed at the discretion of the COTR should annual workload surges in excess of 10% occur for CLINS 1, 2, 3, 5, or 6.

C.3.1. MAILROOM OPERATIONS (applies to CLIN 1)

The operation of the Trademark mailroom covers traditional mailroom operations, initial processing of incoming mail (both electronically-received and traditional, paper mail)/processing all outgoing mail, but also includes non-traditional mailroom operations such as printing incoming electronic filings (not to be confused with electronically received new applications which are not printed), transferring electronically-received faxes to an image database, assigning serial numbers and filing dates to new paper applications, and processing USPS-returned mail.

As the Trademark Office has transitioned to a more electronic office, more and more filings are submitted electronically, rather than on paper. Some electronic filings continue to require some manual processing to move them from one system to another, or require manual processing after certain points in the process, pending complete automation of the entire process.

The services shall provide for:

- Pick up of Trademark inter-office mail (no file wrappers, except those in interoffice envelopes) from designated Madison East Building Trademark Office mail-stops (no more than 35 mail stops) and one Madison West Building mail stop, sorting Trademark inter-office mail, and delivering all mail (inter-office and mail from the mailroom) to designated Trademark office mail stops twice daily between the hours of 10 and 11 am and again in the afternoon between 3 p.m. and 4 p.m.;
- Depositing interoffice mail in appropriate pick up location;
- Once daily pickup of Trademark mail from the Crystal City Post Office for incoming Madrid/Petitions/Fastener Quality Act filings and the UPS Store in Alexandria for the Trademark Law Library. The PTO shuttle and the Alexandria shuttle may be used for transportation; the contractor is not required to use his own transportation. The volumes for all pickups average 80 pieces a week.
- Delivery of all Work Location Routing Sheets twice daily to appropriate Trademark office destinations in the Madison East Building;
- Assignment of Trademark mail dates (filing dates) to incoming mail each day according to Office rules, and affixing identifying information to incoming mail;
- Processing of all USPS-returned mail within one business day of receipt in the mailroom;
- Research of incoming mail lacking serial number identification for proper processing;
- Resolution of internal inquiries about mail received, within 4 business hours of the request;
- Boxing of all Physical Location Routing Sheets within 1 business day of scanning;
- Mailing of postcards within one business day of receipt, ensuring appropriate postage is applied
- Processing of all Fastener Quality Act Filings within 1 day of receipt;
- Overview of all postal equipment operations: Notifying the COTR when postal equipment malfunctions; ensuring that meters are applying the correct postage, that

USPS rate changes are reflected timely, that printers have ink; notifying government monitors when additional funding for postal machines is required;

- Inserting outgoing mail into appropriate envelopes, sealing envelopes;
- Application of proper postage to all outgoing mail;
- Dispatch of outgoing mail to the USPS and other commercial carriers, within one business day of receipt
- Resolving mail related problems, the resolution of which requires interface with the USPS and/or the USPTO primary mailroom;
- Processing of outgoing mail requiring special handling, within one business day of receipt;
- Tracking all courier-barcode incoming mail delivered (ie, USPS, Fed Ex, etc.), within 4 business hours of receipt in the mailroom;
- Electronic upload of all incoming faxes within one business day of receipt;
- Weekly Pick up of Official Gazette proofs delivering them to the Office of Trademark Quality Review in the Madison East Building upon notification from OCIO that the proofs are ready for pickup;
- Printing out designated electronic submissions (TEAS forms) (1-page forms) and delivering them to addressees, as presented for printing within 4 business hours of receipt;
- Occasional pick up of printouts from PTO Carlyle campus sites and bringing them to a Trademark Office in the Madison East Building, as requested;
- Return of any checks or incoming correspondence to the applicant that cannot be processed due to a lack of necessary processing information, using the appropriate form transmittal letter provided by the government, within two business days of receipt;
- Assembly of file wrappers for all new application files, printing and affixing serial number barcodes for file wrappers, performing necessary TRAM transactions on assembled files. Starting within the first six months of Option Year I, assembly of new TEAS application files will be eliminated except when subsequent paper documents are filed;
- Daily monitoring of all the email boxes identified in the Incoming Mail Instructions;
- Process informal applications upon internal request within 4 hours of the request.

Error Free Definitions:

- **USPS-Returned Mail.** Error free means that all USPS-returned mail with new addresses are remailed, that correct tram transactions are taken, and that the correct form letter is used.
- **TEAS Processing:** Error free means that no TEAS Routing Sheets are printed twice and that all TEAS Routing Sheets are delivered to the correct destination.
- **Rightfax Processing.** Error free means that no credit card or check routing information is uploaded, that faxes are identified with the correct serial number, that all faxes received in the TICS Archive electronic directory that contain serial numbers are uploaded to TICS, and that no faxes with serial numbers are deleted.
- **Incoming Paper Mail:** Error free means that all courier-issued barcodes are recorded upon receipt and mail dates are assigned appropriately.

Government-Supplied Hardware:

- Pitney Bowes mail equipment, purchased in late 2005
 - 1 Pitney Bowes Inserter, DJ950
 - 2 Pitney Bowes Meters, DM1000
 - 1 Pitney Bowes Arrival System (for tracking barcoded mail)
- High speed printers both in and adjacent to the mailroom (4 color printers and 5 black and white printers)
- 7 copiers
- 3 Datamax label printers
- 3 wire carts

Government-Supplied Software or Applications Systems:

- Fax to TICRS (FIT) – for processing incoming RightFaxes
- TICRS – used for quality control purposes in the mailroom
- TRAM – used for quality control purposes in the mailroom
- X-Search – to research marks on filings missing serial numbers. Bibliographic Retrieval Service (BRS) is the search engine behind the application, Xsearch.
- Data Maintenance Module (DMM) – for correcting work (faxes with incoming credit card information, for example) and to reclassify documents within TICRS
- PC-BCR – for scanning barcodes

C.3.2 FEE PROCESSING (applies to CLIN 2)

The Fee Processing task encompasses all fee-related transactions at the pre-examination stage. Trademark fees are collected in two categories: (1) fees associated with new Trademark paper applications; and (2) fees associated with paper-submitted flatwork, i.e., various actions (petitions, extensions, etc.) that take place after a Trademark application has been filed. Services shall provide for:

- processing fee payments using the Revenue Accounting System by the associated application serial number or registration number submitted (on incoming paper documents only) by cash, check, deposit account, credit card and any combination thereof;
- processing fee refunds;
- determining the proper fee code for each transaction;
- responding to walk-in fee-related inquiries by the public as requested;
- responding to internal fee-related, serial number-specific inquiries, within 4 business hours of the request;
- resolving fee-related problems with specific filings, contacting the applicant only when authorized by the COTR, within 4 business hours of the request;
- accepting filings from walk-in customers during the hours of 8:30 a.m. and 5 p.m. Monday-Friday;
- handling cash and equivalent monetary instruments;
- reconciling daily fee activity including submitting accurate bank deposits.

Data is identified from source documents and accurately entered into automated systems. Daily reconciliation of financial data in preparation of supporting financial documentation is required. Fee transactions are processed on a first-in first-out (FIFO) basis and must be completed within 2 business days of receipt of the filing in the mailroom. One Customer Service representative is required to staff the window in room A2-C55 Madison East Building Monday through Friday from 8:30 am to 5 pm to accept hand-delivered filings and to provide fee services for walk-in traffic.

Government-Supplied Hardware:

- 5 Welch Allen Scanteam 8300 MICR Check Scanners

Government-Supplied Software:

- RAM – Revenue Accounting and Management
- TRAM
- TICRS

C.3.3. SCANNING (applies to both CLINS 3 and 4)

Virtually all incoming paper documents (incoming mail and new paper applications) are scanned with very few exceptions. New paper applications are scanned and prepared for data entry. About 25% of the registered files residing in the warehouse have been scanned and the remainder needs to be scanned over the next two years (e.g., Base Period and Option Period I). Additionally, there are always miscellaneous scanning and scanning-related tasks to complete, such as occasional requests from examining attorneys, emailed requests from the public for documents in pending or registered files, requests to reclassify a file, etc.

The contractor must be able to interact with Government and other contractor resources at a level that will facilitate solutions to data and workflow problems and other software and hardware system interactions, such as troubleshooting problems, especially during software updates of InputAccel, FIT, and Incoming Paper Correspondence, for example, and routine testing of contractor-used user interfaces of software updates. Such testing is usually performed at night or on weekends and sometimes at very late or very early hours of the day. Testing will require the presence of the contractor to interact with the government managing the software installations. Over the last six months, software update testing has occurred approximately four times. The government will require testing by the contractor no more than 12 times in any contract period (base or option). The contractor may also be asked to help the government in testing and evaluating replacement scanning equipment. Over the last 3 years, this occurred one time. Testing can take between 30 minutes and 3 hours.

The contractor must monitor the electronic scanning folders and directories on a daily basis in order to ensure complete throughput of the scanning workflow. The new application scanning operation utilizes a software application called InputAccel to handle the various types of incoming documents that feed TICSRS, XSearch, and other databases. InputAccel automatically captures data from paper documents in new applications and validates the information for accuracy before exporting it to database and enterprise content management systems. The contractor will monitor InputAccel's supervisor module to view and control scanned data after processing and take corrective action as needed.

The contractor is required to perform the following basic scanning equipment maintenance on all scanning equipment used by the contractor to keep scanning surfaces clean and scanning equipment parts running smoothly.

- Ensure that all staples, paperclips and other metal objects are removed before scanning;
- Clean glass and keep it clean from smudge marks that could reduce the quality of an image;
- Keep foreign debris out of paper paths;
- Maintain clean area around scanner to prevent debris from getting into scanner;

- Conduct regular checks to ensure that components don't need replacing and that parts are not broken;

Government-Supplied Hardware:

36 Panasonic s7065C desktop scanners (for use with InputAccel, TODS and CST)

- Color scanning speed: 13.25 seconds per 8.5 x 11 in page (simplex); file jackets at 12 seconds per side
- B&W scanning speed: 1.8 seconds per page

16 Fujitsu fi-4750C desktop scanners (for use with IPC and CST)

11 Panasonic S7065C's are planned to be ordered and expected to be deployed in FY 06.

Hand-held Polaroid Camera (for unusually bulky specimens) – about 1-2 a week for new applications and incoming paper correspondence. Approximately 3% of all registered files requiring scanning contain specimens so bulky that a photograph must be taken.

Government-Supplied Software Applications (which automatically create the output in required formats):

- Color Specimens to TICSRS (CST) – for scanning color documents
- Data Maintenance Module (DMM) – for classifying scanned documents and correcting data errors
- Trademark on Demand Scanning (TODS) – for scanning all non IPC documents in black and white
- Trademark Image Capture and Retrieval System (TICSRS) – for retrieving and viewing scanned documents
- Trademark Reporting and Management System (TRAM) –using PC BCR (PC Barcode Reader) to assign files to the correct status and location.
- Incoming Paper Correspondence (IPC) – for scanning incoming paper correspondence or anything for which a prosecution history of PAPER RECEIVED is needed
- InputAccel – for scanning new paper applications

C.3.3.1 Scanning Other Than Registered Files (CLIN 3)

New Paper Applications .

Trademark applications received on paper must be prepared (processed) in order to ensure all pertinent information is captured and entered into databases during the scanning operation. Most applications are approximately 7 to 10 pages in length. Each application has: a “drawing page” (which may or may not be a distinct and separate page), specimen pages (which may or may not need to be created by the contractor from bulky items submitted by the applicant), and the body of the application. Approximately 30% of all applications with specimens will have color specimens. Paper applications must be available for viewing in TICSRS, searchable via X-search, and the physical file

charged to the next processing physical location within 4 business days of receipt in the mailroom. Services required are:

Pre-processing and scanning of paper applications:

- Document preparation of new paper applications: assignment of the application serial number, initial and final assembly (placement in file jackets, affixing labels); removal of any non-scannable objects, such as staples, paperclips, etc.; identification of the application components, especially of embedded drawings and specimens that cannot be captured digitally; identification and processing of any bulky (non-scannable) specimens submitted with an application, including digitally photographing or photocopying bulky specimens;
- Scanning paper applications;
- Visual quality inspection of scanned document images to ensure that text and images are readable; that all pages were actually scanned; and to ensure no visually perceptible skewing of the drawing page;
- Identification of Trademark application components for indexing (identifying the drawing page, the specimens, and the body of the application);
- Electronically indexing images within the user interface so that parts of the application are uploaded to appropriate databases;
- Electronic transfer of image and OCR files to Trade-Ups (a Trademark data entry system) by uploading the images and daily monitoring of the various electronic folders to ensure uploads were successful;
- Checking necessary electronic directories each day through Explorer in order to review drawing pages that were not cropped and resolve by ensuring drawing pages with embedded drawings are sent to this directory that are croppable;
- Checking necessary electronic directories daily to ensure files are uploaded and alerting technical experts when problems are encountered (usually storage-related problems);
- Screening all files purportedly needing rescanning to ensure rescanning will fix the problem;
- Troubleshooting all missing images from files provided to the contractor as identified by the government;

Definition of a scanned paper application with no errors: Error free means that (1) all papers requiring scanning are scanned, and (2) all images are captured with clarity and color images are scanned in color, (3) the requisite pages are classified correctly to identify content, (4) the pages, and especially the drawing page, have been scanned without any noticeable skew, (5) papers are not damaged in any way during document preparation or scanning, (6) that only one application is scanned per serial number, (7) documents are readable to the extent possible upon examination when accessing the electronic record, and (8) all documents scanned are in specified image resolutions (300 dpi) and in specified file formats (color must be in jpeg and black and white images must be in TIF.).

SCANNING INCOMING PAPER CORRESPONDENCE

The majority of paper correspondence received is related to a previously filed application. With a few minor exceptions, the majority of these documents are to be scanned, reviewed for clarity and associated with the original application by the reference serial number. As each item is scanned, an entry is made automatically in the Prosecution History of TRAM, and two “Routing Sheets” are generated. One Routing Sheet follows the paper document and the second serves as a proxy for work to be performed by Trademark examiners in response to the incoming document, pending development of an electronic workflow system.

During the period January – June 2006, an average of 680 documents were scanned each business day, with an average document page count of 8 pages.

Incoming paper correspondence is to be scanned within 3 business days of receipt in the mailroom. The following are the services required:

- Document preparation of incoming paper correspondence: removal of any non-scannable objects, such as staples, paperclips, etc.; identification and processing of any bulky (non-scannable) items, including digitally photographing or photocopying bulky specimens (approximately 2 a week);
- Identifying the serial number
- Identifying the document type
- Scanning
- Affixing the Physical Location Routing Sheets to the incoming document, two-hole punching the two documents together, and sorting the documents into series-specific boxes for pickup and transfer to the warehouse.
- Visual quality inspection of scanned document images.

Definition of a scanned paper document with no errors: Error free means that (1) all papers requiring scanning are scanned, (2) all images are captured with clarity and color images are scanned in color, (3) the requisite pages are classified correctly to identify content, (4) the pages, and especially the drawing page, have been scanned without any noticeable skew, (5) papers are not damaged in any way during document preparation or scanning, (6) that only one document is scanned per serial number, (7) documents are readable to the extent possible upon examination when accessing the electronic record, (8) all documents scanned are in specified image resolutions (300 dpi) and in specified file formats (color must be in jpeg and black and white images must be in TIF), and, (9) the document is scanned using the correct serial number.

MISCELLANEOUS SCANNING and SCANNING-RELATED SERVICES

The Trademark Office requires the following scanning services. Please refer to Section C.5. for volume estimates:

- scanning of miscellaneous documents that must be appended to the TICRS record, such as voluminous evidence, Madrid Protocol-related documents, and miscellaneous documents sent to the TTAB. Generally, this is upon request.
- scanning of registered and on rare occasions, pending, files. These are special requests for scanning files on demand. There are fewer than 300 pending files missing in TICRS.
- classification of scanned records in TICRS, upon request
- scanning of series 89 documents.

Additionally, the Office requires daily monitoring of a public email box, to review requests for scanning files not in TICRS or to scan or rescan specific pages within a file. This will involve ordering the file from the warehouse, scanning either the entire file or specific pages, and returning the file to the warehouse after scanning. No response to the requestor is required. Also required is the daily monitoring of internal email box, TM TICRS Indexing, for requests from examiners and other managers to index unclassified scanned files.

Cycle time for all miscellaneous scanning and scanning-related tasks is one business day from the date of the request. This means that within one business day of the request the file must be ordered if not provided by the requester, or the document/file if provided must be scanned and reclassified. Files ordered must be processed within one business day of receipt.

C.3.3.2. SCANNING REGISTERED FILES (applies to CLIN 4)

There remain 615,000 active registered files to be scanned. Each fiscal year, the Trademark Office will identify approximately 307,500 files to be scanned, until all files are captured. Approximately 75% of these files contain at least one color document.

Requirement:

- Scan registered files identified by the government and to the extent possible, in the general order in which the files are listed;
- Classify the registration certificate and the most recent incoming document; and,
- Scan all color documents in color.

File Condition: Many registered files can be in poor condition. For example, file wrappers of files that registered in 1980 or earlier have already begun to deteriorate and have separated at the seam. Many pages within the file wrapper are delicate. Documents will need to be unstapled, paperclips removed, and the file generally prepared for scanning. Approximately 3% contain bulky specimens so bulky that they must be photographed.

- Average number of pages per file (not including the 6 flaps of the file wrapper): 53 pages (approximately 38% of files may exceed 53 pages). Some files will have significantly more than 53 pages, while other may have less.
- Average number of pages of colored documents: 7 pages per file (approximately 27% of files are expected to have more than 7 pages of color documents).
- Average number of pages not 8.5 x 11 inches: 22 pages per file (approximately 36% of files are expected to contain more than 22 pages that are not 8.5 x 11 inches)

How to obtain files to scan: Order files to be scanned using the FOS (File Ordering System) on the desktop, and typing in the serial number or registration numbers of the files being ordered. Files are normally delivered within 1 to 2 business days from the warehouse to a central delivery location in the Madison East Building. The clerical contractor will contact the scanning contractor when files ordered from the warehouse are ready for pick-up. If the scanning contractor is not notified within two business days, the scanning contractor is required to follow-up on status and to notify the COTR.

Government-provided List of Files to Scan: The Government will hand-deliver or email a list of serial/registration numbers of files to scan at the beginning of each fiscal year. Skip over (ignore) any LOST files on this list as the physical files are not readily available for scanning. This list represents the files eligible for post-registration examination for the fiscal year. To the extent possible, all files on this list should be scanned in the order in which they appear on the list. This should help the government ensure that the file contents are available in TIGRS when the file is most likely to be examined.

Arrival of Files to Scan: File location and status is recorded for every application and registered file in TRAM. As a rule the movement of files requires the use of PCBCR to

record these changes when ordering a file and when it is received. The exception to this procedure is when a file is ordered from the warehouse with a physical location of 40S. You may assume that the file is in the correct Physical Location of 40S, but realize that if it is not, the file must be returned to the central delivery location with instructions written on the front of the file that it was not properly trammed and cannot be scanned. The clerical contractor will notify the scanning contractor when the files are available in the central delivery location for pickup by the scanning contractor. The clerical contractor's workload should allow them to complete inbound processing of the files delivered from the warehouse within one day. If the scanning contractor is not notified within two business days, the scanning contractor is required to follow-up on status and to notify the COTR. There is inadequate storage space on the 4th floor for the expected volume. The scanning contractor will need to store "in-process" files on the Concourse level in shelving and space provided by the Government. Files shall be processed and scanning completed within 5 business days of receipt.

Definition of a scanned registered file with no errors: Error free means that (1) the correct file is scanned, and (2) all color images are scanned in color, all pages within the file folder are scanned, all parts of the file folder itself are scanned, the requisite pages within the file are classified correctly (meaning the registration certificate and the most recent incoming document), the pages within the file have been scanned without any noticeable skew, registration certificates of any type within the file folder are not damaged in any way during document preparation or scanning, the proper flags in TRAM are set, and every effort has been made by the contractor to make scanned aged and faded documents readable upon examination by the government and the public when accessing the electronic record.

Scanning the Files: All files must be scanned into TICRS using the application "TODS" for B&W images and "CST" for color images.

Approximately 75% of all registered files contain a color document, generally a magazine or a brochure.

Black and white images: Files contents must be viewable in the Unclassified category in TICRS in the order in which they appear in the physical file wrapper. The file wrapper should appear first, the documents in the middle of the three part file wrapper should be next with the documents on top appearing first, then the documents on the left and finally the documents on the right. Scan registered file content in the following order, using TODS, which will place all the documents into the Unclassified category.

- Do not scan the pink Statement of Use (SOU) or other similar tags, but do replace them in the file when you have completed scanning the files.
- Foreign Registration Certificates: Foreign registration certificates and other certification-type documents that have not been scanned before (ie, are not already "degrommed"/separated) must be scanned so as not to destroy the original document.
- Do scan any "post-it" or other similar notes in the file.

- For “bulky” specimens or exhibits:
 - **Books** – a volume made up of written or printed pages fastened along one side and encased between protective covers.
 - Scan only the cover, the binder, the Table of Contents, the back cover, and any page(s) specifically tabbed by the registrant.
 - Photocopy that which will not scan well and scan the photocopy
 - **Magazines** – a periodical containing a collection of articles, stories, pictures, or other features
 - Scan only the cover, the binder, the Table of Contents, and any page(s) specifically tabbed by the registrant.
 - Photocopy the cover of any glossy magazines that won’t scan well, and scan the photocopy
 - **Pamphlets and Brochures** – anything that is not clearly a magazine
 - Scan the entire item. The idea is that the examiner would like to view the advertising to see if the registrant is providing the goods/services stated in the application.
 - **Other Bulkies** - photocopy or digitally photograph any bulkies that won’t scan because of physical characteristics (like a bottle....). Be sure to capture any writing on the item.
- Color images may be scanned in through EDODS, but will appear only in B&W;
- Scan all parts of any digital bulky specimens with marks or writing or notations on them; and,
- Reassemble all files in the order in which they arrived. Restapling of documents is not necessary.

Scanning in Color: Using the software application Color Specimens to TICRS (CST), scan each color document. This will append the color document to the Specimens category. Move these from the Specimens category to the Unclassified category using DMM, placing these images either at the bottom of the Unclassified category or next to the B&W copy embedded within the unclassified category. Duplicates need not be deleted.

- File Wrappers: As long as the handwriting on the file wrapper is legible in TICSRS, scanning these in color is not required;
- Other: Anything else in color must be scanned in color. Scan the entire document;
- Specimens scanned in color may stay in the Specimen category; and,
- Exhibits scanned in color may stay in the Specimen category, reclassified under the document type of Exhibit.

Classification: Classify the scanned documents as follows: Identify the registration certificate and the most recent incoming document from the applicant, regardless of the mail date/age of the document. Using the Data Maintenance Module, move the registration certificate to the Registration Certificate category and move the most recent incoming document to the Paper Correspondence Incoming category. Not all registered

files contain registration certificates in the physical file wrapper. This is because the government stopped inserting paper copies of this document in the spring of 2004 and began electronically inserting them into the Registration Certificate category automatically.

The reclassification of documents requires that you supply a date in the user interface. Use the date that the document was scanned.

Final Processing: Once done with scanning, reassemble the files and perform transaction 6501 to OUT on PCBCR using workstation 40S. The transaction updates the Physical Location and Date along with flipping a flag in TRAM indicating that the contents of the file have been scanned into TICSRS. Take the files back to the central delivery location on the 4th floor and the clerical contractor will ensure they are returned to the warehouse.

C.3.4 DATA ENTRY (Tagging) (applies to CLIN 5)

Services are required for the identification and “tagging” of data elements from scanned paper applications and electronically-received applications to capture the content in the appropriate data fields in the TRAM database. Nearly ninety percent of all new Trademark applications are received electronically through the Trademark Electronic Application System (TEAS). The initial processing of TEAS filed applications are electronic and no paper copies are produced. The content of data from TEAS applications must be uploaded in TRAM and made available for searching in X-search within 1 business day of application retrieval. Paper applications must be tagged so that the application’s processing is completed within 5 business days (includes fee processing, scanning, file assembly, and tagging). Paper applications contain more than 80 data elements that may require data entry with most applications containing approximately 25 data elements. By contrast, TEAS applications contain fewer than 10 data elements requiring data entry, with some rare exceptions.

Paper Application Process:

- Using a PC and monitor with a split-screen image, highlight and move information from the data captured from application's OCR'd image in TICSRS to the appropriate fields on the data entry form (tagging) in TRADEUPS;
- Review each application for completeness, conformance with requirements, and the presence of all information required to assign a filing date;
- Determine and assign design search codes, mark drawing codes, and other supplemental information as appropriate and key enter this information into the appropriate location(s);
- Upload tagged data to complete the process.
- Process as “Informal” all files not meeting filing requirements, generate standard letter using Informalities template, process refund, and return original documents.

Electronic Application Process:

- Monitor the email box, TM TEAS ASSIGN, which contains daily incoming TEAS applications.
- Retrieve the application from the TEAS system
- Identify and categorize the pertinent data elements (tagging) in the same manner as is used in the processing of paper applications data is pre tagged or identified by data element.
- Create CDs of digital specimens that did not transfer with the TEAS application, as requested by a government monitor who will provide the electronic file for the CD. These occur infrequently. These CDs will be sent to both the warehouse and to the Law Library in Madison East for storage.
- Determine and assign design search codes, mark drawing codes, and other supplemental information as appropriate and key enter this information into the appropriate location(s);
- Transfer the application data to the appropriate databases.

MADRID PROTOCOL Applications. Applications that conform to the Madrid Protocol for international filing are normally received in an electronic format and are to be processed in a manner consistent with the rules for paper and TEAS applications. Applications filed under the Madrid Protocol represent fewer than 10 percent of the total Trademark application volume.

Filing Receipt Correction Requests. Data entry errors captured from the initial application filing may be identified by the applicant upon review of the Filing Receipt. On occasion, the applicant may write the office requesting correction to the data as entered by the contractor. These errors must be corrected within 1 business day of receipt of the request.

Error-Free Data Entry Definition: Error free means

1. No valid Filing Receipt Correction Requests (ie, not preliminary amendments disguised as Filing Receipt Correction Requests) are received by the Trademark Office
2. No valid Design Search Code Correction Requests are received by the Trademark Office
3. Paper applications are correctly assessed for meeting the minimum standards for a filing date;
4. For each tagged file all data is entered in the Trademark Data Entry Update System (TRADEUPS), all data is uploaded, and all electronic resources are utilized which includes manuals and dictionaries.

AND,

5. File accuracy metrics apply equally to all series of applications, but based only on the same fields entered for the electronically-received applications: all mark data is entered, international classes are correctly assigned (if necessary), mark drawing and design search codes are appropriately applied, and, pseudo marks are designated (if necessary).

Government-Supplied Software

Trade-ups

TICRS

TRAM

Informalities Template

C.3.5 PROOFREADING OF FILES IN THE PUBLICATION PROCESS (applies to CLIN 6)

Services are required to ensure that trademark application files that have met the selection criteria for inclusion in the publication process are verified against the data in the electronic database prior to submission of electronic records to the Government Printing Office (GPO) for printing. Data quality is critical to the registration process and is a critical customer service issue, hence the requirement for proofreading data that has already been proofread several times up to this point in the process. The electronic application data, including a review of the file image, is checked against images of source documents in TICS to ensure that spelling, spacing, punctuation, and formatting are correct and that data is not missing or entered into incorrect fields or records. Errors are corrected by text editing the appropriate fields, using Trade-Ups, to bring the electronic database data into compliance with the application file. Questions to resolve substantive discrepancies between data in the application file and data shown in the full-file content and in the TRAM database are entered electronically using the “Jnotes” functionality in TRAM and the file is charged back to the appropriate law office for review and correction. An Official Gazette (OG) date is set by computer transaction for each application that is proofread and determined to be ready for publication.

Note: The CLIN 0006 “Proofreading” line item is for six months of Proofreading during the first 6 months of the contract’s base period. After this initial base period of 6 months for CLIN 0006, any additional requirement for Proofreading is an Option Quantity. During the Base Period of the Contract, the Proofreading Option may be exercised with 15 calendar days notice. The option quantity ordered will be in increments of months. Any quantity from 1 to 6 months may be ordered. The option may be exercised more than once as long as the total option quantity ordered does not exceed 6 months. Similarly, “Proofreading” is an Option embedded in Option Periods I through IV and is included in the base year of contract performance. During each Option Period of the Contract, the Proofreading Option may be exercised with 15 calendar days notice. The option quantity ordered will be in increments of months. Any quantity from 1 to 12 months may be ordered. The option may be exercised more than once as long as the total option quantity ordered does not exceed 12 months.

Requirement: Proofread all files identified on the daily electronic CM 154 report and either complete the process by scheduling the file for publication in the weekly OG or if additional changes are necessary return the file to the law office with an explanation for what needs to be changed or corrected within 5 business days of receipt of the file on the CM 154.

Receipt of Files to be Proofed: A daily electronic report entitled the CM 154 is emailed listing the serial numbers of files requiring proofreading. The report also contains a barcode of the OG date, appropriate to each serial number, to be set by the contractor by barcode transaction once processing is completed.

Government-Supplied Software Applications:

- Trademark Image Capture and Retrieval System (TICRS) – for viewing scanned documents
- Trademark Reporting and Management System (TRAM) – for tracking files using PC BCR (PC Barcode Reader)
- Trade-ups – for data entry
- PTONet email – for receipt of the daily CM 154
- Official Gazette Publication Review Screen for comparing data and image as it will appear in the published OG

Government-Supplied Hardware

Desktop PCs

- Single monitors only are provided. Dual monitors have been requested, but the government cannot promise to be able to procure these within the foreseeable future, especially considering that the proofreading task may be eliminated.

Definition of a proofread file with no errors: Error free means that (1) the file was proofed, the OG date scheduled, or the file in question is sent back to the law office within 5 business days with a Jnote; (2) the correct OG date barcode is scanned for the file, meaning that the barcode from the CM 154 is scanned for this file; (3) the file is questioned only for appropriate matters, (4) no error in spelling, spacing, punctuation, and formatting, (5) data is not missing, and (6) data is not entered into incorrect fields or records.

Volume Estimate and Turnaround Time: Files for proofreading are processed on a first-in/first-out (FIFO) basis, as they appear on the CM 154 report. Turnaround time is 5 business days from the date the file appears on the CM 154. Spikes in volume are to be expected after each December, March, June, and September examining attorney rating quarter ends, thus corresponding to spikes in examiner production. The contractor must be alert to receiving the automated daily report and notify both the COTR and a designated contact in the Office of Trademark Program Control immediately if the report is not received. Forty percent of all files are eventually proofed twice: once to schedule publication date followed by a Notice of Allowance in the OG, and again later for a registration date. Files sent back to the law office for questioning will be proofed at least twice and sometimes more than that. During the first 6 months of fiscal year 2006, 105,000 files were proofed (this includes multiple proofing for the same file). On average during the period January 2006 through June 2006, about 5,000 files were on the daily CM 154 report.

C. 4. Reporting: The COTR, and others, require details, via the following required three reports, on services provided. The distribution of these reports may vary throughout the contract, depending upon the use of the reports and personnel changes. All reports are to be delivered via email. The current distribution list will be provided by the COTR at the time of contract award. The contractor will propose a format to use with submission of his first report and the COTR will respond with comments. The final format to be used for future reports is to be approved by the COTR>

C.4.1 Weekly COTR Report. Provide the COTR with a weekly report of production completed for each CLIN. The report is due each Monday by noon and must include weekly and YTD workloads for the following services:

Mail Processing (CLIN 1)

Total Count of Incoming Mail by source of type of mail received:

- Interoffice pickups
- Couriered mail
- USPS mail
 - USPS-returned mail
 - USPS-returned Tpostal postcards
- Walked-in mail received
- Mail from OIPE Received
- Other incoming

Total Count and costs of Outgoing Mail:

- Metered Automailer
- Pitney Bowes Inserter
- Pitney Bowes DM 1000

Other Total Counts:

- Rightfaxes
- Mail Sorted Out for TTAB
- TEAS Printouts
 - PRU
 - ROAs
- Items sent to the International Bureau
- Count of personnel on the contract.
- 89-series documents
- Fastener Quality Act Filings
- Paper-submitted Responses to Office Actions
- TEAS ROAS

Fee Processing (CLIN 2)

Fee Processing (number of transactions):

- New Application fees processed
- Flatwork fees processed

- Refunds processed
- Window Transactions
- Other transactions performed (summarized)
- Mailroom Processing:

Scanning:

- CLIN 3
 - IPC Count (Routing Sheets generated)
 - Paper applications scanned
 - Other items scanned (summarized)
- CLIN 4
 - Registered files scanned

Tagging (CLIN 5): identify a count of paper, electronic, and Madrid applications tagged.

Proofing (CLIN 6): a daily count of the files available for proofing on the CM 154 report, and the weekly summary counts of files proofed, including those questioned using J-Notes and returned for correction.

C.4.2 Weekly Report (CLIN 1). Is this the same report described above? Emailed to COTR and to a designated list of PTO recipients on Monday by noon the following: The report should cover all serial numbers in sequential order and the filing date assigned, tagging/upload date, assembly date, and completed date for each quarter. After each quarter, the report shall be archived, but must be retrievable in the event of questions.

C.4.3 Quarterly Report. Emailed quarterly and FY YTD counts for CLINS 1, 2, 3 and 6 as follows:

- Total Incoming Mail
- Total Outgoing Mail
- Total Fee Items Processed
- Total Incoming Paper Correspondence Scanned
- Total Number of Files Proofed

This quarterly report must be emailed to COTR by noon on Friday of the week following the quarters ending with December, March, June, and September.

C.5. Historical and Projected Workload Volumes (projected annual workload volumes (excluding CLIN 4) may fluctuate plus or minus 10%)

			FY2003	FY2004	FY2005	FY 06 (Oct 05– Mar 06)	FY 07	FY 08	FY09	FY10	FY11
CLIN 1 (Mail Operations)	<i>Incoming Mail</i>	Madrid Filings	0	1,436	451	150	300	300	300	300	300
		USPS mail received	392,726	216,761	132,841	65,000	125,000	125,000	125,000	125,000	125,000
		Letters of Protest	NDA	NDA	NDA	NDA	900	925	950	975	1000
		USPS-returned Mail				7,000	7,000	7,000	7,000	7,000	7,000
		Fee Window Incoming Mail	22,598	18,468	5,426	2,300	2,000	1,500	1,500	1,500	1,500
		Offsite Mail Received	4,129	3,387	2,247	1,200	800	500	500	500	500
		Mail from Patents Mailroom	NDA	NDA	5,723	14,000	15,000	15,000	15,000	15,000	15,000
		Couriered Mail Received	32,726	24,796	14,514	1,751	4,000	3,000	2,500	2,000	1,500
		Interoffice Mail Pickups	NDA	NDA	NDA	500	500	500	500	500	500
	<i>Outgoing Mail</i>	Metered Mail	1,200,000	1,200,000	1,029,118	435,000	800,000	750,000	750,000	700,000	600,000
		Mail Picked Up from Service Centers to be Mailed	NDA			25,000	25,000	25,000	25,000	20,000	20,000
		Mail sent to International Bureau	0	3,079	5,230	300	600	700	700	700	700
		Work Location Routing Sheets Sent to 4 th Floor Distribution Area	0	0		95,000	200,000 * may be eliminated with workflow	200,000 * may be eliminated with workflow	200,000 * may be eliminated with workflow	200,000* may be eliminated with workflow systems	200,000* may be eliminated with workflow systems

							system	systems	systems		
		Physical Location Routing Sheets Boxed for Warehouse Pickup				95,000	200,000	200,000	200,000	200,000	200,000
		TEAS Printouts	25,431	250,819	197,270	85,000	200,000 may be eliminat ed with workflo w system	200,000 may be eliminat ed with workflo w system	200,000 may be eliminat ed with workflo w system	200,000 may be eliminate d with workflo w system	200,000 may be eliminate d with workflo w system
		RightFaxes	NDA	NDA	NDA	8,000	15,000	15,000	15,000	15,000	15,000
CLIN 2 (Fee Process- ing)		New Paper Applications	102,257	68,556	35,407	10,000	20,000	20,000	15,000	15,000	15,000
		Flatwork	220,452	162,639	79,505	35,000	70,000	70,000	60,000	60,000	50,000
		Refunds	3,282	2,513	2,738	1,400	3,000	3,000	2,000	2,000	1,000
		Window Transactions				2,600	5,000	5,000	4,000	4,000	3,000
CLIN 3 (Scann- ing Other Than Registere d Files)		Incoming Paper Correspondence				95,000	200,000	200,000	200,000	200,000	200,000
		Madrid				40	100	100	100	100	100
		Petitions Papers				250	500	500	400	300	200
		Voluminous Evidence				800	1,500	1,500	1,500	1,500	1,000
		TTAB Documents Scanned				300	600	600	600	600	400
		Online Requests Via Email				500	1,000	1,000	500	250	100
		Pending Applications				230	100	50	25	25	20
		Miscellaneous Classifying				500	1,000	1,000	1,000	1,000	1,000

		New Paper Applications				10,000	20,000	20,000	15,000	15,000	15,000
CLIN 4 (Scanning Registered Files)			NA	NA	NA	NA	307,500	307,500	0	0	0
CLIN 5 (Tagging/ Data Entry)		Paper Applications				9,000	18,000	18,000	18,000	18,000	18,000
		TEAS Applications				130,000	280,000	302,000	326,000	352,000	380,000
		Madrid Applications				6,500	14,500	15,600	16,800	18,100	19,500
		Informalities				1,200	2,000	2,000	2,000	2,000	2,000
CLIN 6 (Proofreading)		Files Received				105,000	225,000	245,000	265,000	286,000	

NDA – no data available

NDA – no data available

C.6 Summary of Cycle Time Requirements

Incoming Mail	
• Pick up Mail	
○ From Pickup Locations within Madison East	Twice Daily (10- 11 am and again 3-4 pm)
○ Crystal City PO	Once daily
○ UPS Store	As requested
○ OG Proofs	Once a week, and not until OCIO announces they are ready for pickup
○ Other Printouts	As Requested
• Deliver Sorted Mail	
○ General Mail	Twice Daily (10- 11 am and again 3-4 pm) and within 2 days of receipt in the mailroom
○ Work Location Routing Sheets w/fees	Within 3 days of receipt in the mailroom
○ Work Location Routing Sheets w/o fees	Within 2 days of receipt in the mailroom
○ TEAS Routing Sheets	Within 4 hours of receipt of the email
• USPS-Returned Mail	Within 1 day of receipt in the mailroom
• Internal Mail Inquiries	Within 4 hours of the request
• Mailing Applicant-Filed Postcards	Within 2 days of receipt in the mailroom
• Dispatching Outgoing Mail	Within 1 day of pickup from locations within Madison East and within 1 day of receipt for items delivered by others to the mailroom
• Special Handling Outgoing Mail	Within 1 day of notification of special handling needed
• Tracking Courier-Barcoded Mail	Within 4 hours of receipt in the mailroom
• Processing Rightfaxes	Within 1 day of receipt in the electronic folder

• Processing Unprocessable Mail	Within 2 days of receipt in the mailroom
• Monitoring/Taking Action on all Email Boxes	Within 1 day of receipt in the email box
• Process Internal Informalities Requests	Within 4 hours of the request.
Fee Processing	
• Daily Reconciliations	By COB each day
• Fee Transactions on All Filings	Within 2 days of the receipt at the fee window or in the mailroom
• Internal Fee Inquiries	Within 4 hours of the inquiry
• Resolving Fee Problems	Within 4 hours of the inquiry
Scanning	
• Paper Applications	Within 5 days of receipt in the mailroom must have completed all processing (tagging, scanning, fee processing, file assembly, final transactions)
• IPC	Within 2 days of receipt in the mailroom
• Other	Within 1 day of the request
Tagging	
• TEAS Applications	Within 1 day of application retrieval through firewall
• Paper Applications	Within 5 days of receipt in the mailroom must have completed all processing (tagging, scanning, fee processing, file assembly, final transactions)
• Informalities	Within 4 hours of the request
Proofreading	Within 5 days of appearance on the CM154

Refers to “Business” hours and days.